

FORM PTO-1390  
(REV 11-98)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEYS' DOCKET NUMBER

TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371

SCBREV-223

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

09/486660

INTERNATIONAL APPLICATION NO.  
PCT/IT98/00231INTERNATIONAL FILING DATE  
11 August 1998PRIORITY DATE CLAIMED  
28 August 1997

TITLE OF INVENTION TRANSGENIC ANIMALS FOR THE STUDY OF BIOLOGICAL, PHYSICAL AND CHEMICAL TOXIC AGENTS

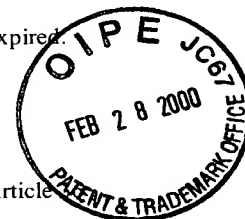
APPLICANT(S) FOR DO/EO/US SACCO, Maria Grazia; ZECCA, Luigi; BROMLEY, Peter; RONCUCCI, Romeo (Deceased);  
CLERICI, Libero A.; and VEZZONI, Paolo

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☒ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2)) (**Publ. No. WO 99/11772**)
  - a. ☒ is transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ has been transmitted by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ have been transmitted by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☐ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article (35 U.S.C. 371(c)(5)).

**Items 11. to 16. below concern document(s) or information included:**

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A **FIRST** preliminary amendment.  
☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A change of power of attorney and/or address letter.
16. ☒ Other items or information:
  - (A) Formal Drawings - Four (4) Sheets containing Figs. 1A-C and 2-4;
  - (B) Copy of PCT Request, as filed;
  - (C) Copy of International Search Report, including references cited therein;
  - (D) Copy of International Preliminary Examination Report;
  - (E) Copy of Letter dated 11 February 2000 to the International Bureau of WIPO from applicants' Italian attorneys identifying the heirs of Romeo RONCUCCI, Deceased;
  - (F) The addresses of the applicants are as stated on the attached unexecuted Declarations.



514 Rec'd PCT/PTO 28 FEB 2000  
09426660 102901

U.S. APPLICATION NO. <b>097/48666</b> (known, see 37 CFR 1.51) INTERNATIONAL APPLICATION NO. <b>PCT/IT98/00231</b>		ATTORNEY'S DOCKET NUMBER <b>SCBREV-223</b>		
<p>17. <input checked="" type="checkbox"/> The following fees are submitted:</p> <p><b>BASIC NATIONAL FEE ( 37 CFR 1.492 (a) (1) - (5) ) :</b></p> <p>Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO ..... <b>\$970.00</b></p> <p>International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO. .... <b>\$840.00</b></p> <p>International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... <b>\$760.00</b></p> <p>International preliminary examination fee paid to USPTO (37 CFR 1.482) but all claims did not satisfy provisions of PCT Article 33(1)-(4) ..... <b>\$670.00</b></p> <p>International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(1)-(4) ..... <b>\$96.00</b></p> <p style="text-align: right;"><b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b></p>		<b>CALCULATIONS</b> PTO USE ONLY		
Surcharge of <b>\$130.00</b> for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).		\$	840.00**	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	
Total claims	12 - 20 =	0	X <b>\$18.00</b>	
Independent claims	1 - 3 =	0	X <b>\$78.00</b>	
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ <b>\$260.00</b>	
<b>TOTAL OF ABOVE CALCULATIONS =</b>			\$ 840.00**	
Reduction of 1/2 for filing by small entity, if applicable. A Small Entity Statement must also be filed (Note 37 CFR 1.9, 1.27, 1.28).			\$ -0-	
<b>SUBTOTAL =</b>			\$ 840.00**	
Processing fee of <b>\$130.00</b> for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).			\$ -0-	
<b>TOTAL NATIONAL FEE =</b>			\$ 840.00**	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). <b>\$40.00</b> per property			\$ -0-	
<b>TOTAL FEES ENCLOSED =</b>			\$ 840.00**	
**Filing Fee calculated after entry of the Preliminary Amendment filed herewith which deletes multidependencies.			Amount to be:	\$
			refunded	\$
			charged	\$
a. <input checked="" type="checkbox"/> A check in the amount of \$ <u>840.00</u> to cover the above fees is enclosed.				
b. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees. A duplicate copy of this sheet is enclosed.				
c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>07-2153</u> . A duplicate copy of this sheet is enclosed.				
<b>NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.</b>				
SEND ALL CORRESPONDENCE TO: WHISENHUNT, Fred S. GRIFFIN, BUTLER, WHISENHUNT & SZIPL, LLP Suite PH-1, 2300 Ninth Street, South Arlington, VA 22204-2320 Telephone: (703) 979-5700 Facsimile: (703) 979-7429 Customer No.: 113 28 February 2000				
			SIGNATURE:	\$
			WHISENHUNT, Fred S.	
			NAME	\$
			24,378	
			REGISTRATION NUMBER	

**BIANCHETTI • BRACCO • MINOJA**

STUDIO CONSULENZA BREVETTUALE

097486660

514 Rec'd PCT/PTO 28 FEB 2000

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Dr. Chemistry

 PAOLO BANFI  
Dr. Medicinal Chemistry

Attn.: M. Abidine  
International Bureau of WIPO  
34, Chemin des Colombettes  
**1211 GENEVA 20**  
Switzerland

Milano,

11 February, 2000

Your ref.


Our ref.

(to be indicated in the reply) SCB451PCT/vmf/ap

By Fax

Dear Sirs,

RE: International patent appl N. PCT/IT98/00231  
filed on 11 August 1998  
in the name of CONSIGLIO NAZIONALE DELLE RICERCHE et al.

 In accordance with Rule 92.bis1(a), I hereby inform you that the heirs of the deceased inventor/applicant for US, RONCUCCI Romeo, are:

1. **RONCUCCI Sylvie**  
residing in via Thaon di Revel, 12  
20159 MILANO  
Italy

Maria Novella CASTAGNOLI as guardian of the minor

2. **RONCUCCI Rachele**  
3. **RONCUCCI Régine**  
both residing in via Ungaretti 17  
20028 SAN VITTORE OLONA (MI)  
Italy  
both of Italian nationality.

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Anne Georgette Cristiane DELACHET as guardian of the minor

4. **RONCUCCI Roxanne**

residing in Avenue Brancolard 119/A

NICE

France.

The four named heirs are applicants for the United States of America only and have appointed the undersigned to act for the above case before all the competent International Authorities.

Would you kindly update your files accordingly. Thanking for your attention, I remain,

Yours faithfully,  
**BIANCHETTI BRACCO MINOJA**  
Fabrizio Minoja